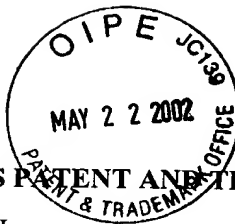


Docket No. 216270US-6X PCT  
ENKEL 8628



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10/24/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: BENGT ROTHMAN ET AL

SERIAL NO: 09/926,612

GAU: 2834

FILED: FEBRUARY 26, 2002

EXAMINER: UNASSIGNED

FOR: METHOD FOR A ROTATING ELECTRIC MACHINE AND A MACHINE FOR CARRYING OUT THE METHOD

INFORMATION DISCLOSURE/RELATED CASE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The Applicant(s) wish to make of record the references listed on the attached form PTO-1449, as filed in "holding application" Serial No. 09/147,325 filed February 17, 1999, which are relevant to the present case as well as related "bulk filing applications" cases, as discussed in Paper No. 11 (copy enclosed) Response to Petition under 37 CFR 1.182 Seeking Special Treatment Relating to an Electronic Search Tool, and Decision on Petition under 37 CFR 1.183 Seeking Waiver of Requirements under 37 CFR 1.98 (i.e., the "Response to Petition"). Because the references were cited by foreign examiners in a foreign case that corresponds with one of the U.S. "bulk filing applications", or were uncovered by the present assignee in the course of performing supplemental searches, the references are believed to be relevant to the present application and bulk filing applications. Three copies of each of the listed references were provided in "holding application" Serial No. 09/147,325 to the Patent Office consistent with the requirements in the Response to Petition.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

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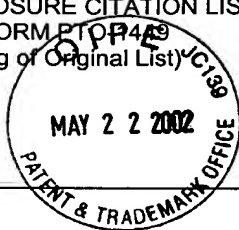


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INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PT 043  
(Corrected Listing of Original List)



Docket Number:  
216270US-6X PCT

Application Number  
09/926,612

Applicant(s):  
BENGT ROTHMAN ET AL

Filing Date:  
FEBERUARY 26, 2002

Group Art Unit:  
2834

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	1	US1304451	5/20/19	L. H. Burnham			
	2	US1418856	6/2/22	Robert B. Williamson			
	3	US1481585	1/22/24	James Robert Beard			
	4	US1728915	9/24/29	E. P. Blankenship et al			
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	6	US1747507	2/18/30	Robert B. George			
	7	US1756672	4/29/30	John M. Barr			
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	9	US1781308	11/11/30	Mauritz Vos			
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**INFORMATION DISCLOSURE CITATION LIST**  
**ALTERNATE FORM PTO-1449**  
 (Corrected Listing of Original List)



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Examiner

Date

Considered

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**INFORMATION DISCLOSURE CITATION LIST**  
**ALTERNATE FORM PTO-1449**  
 (Corrected Listing of Original List)



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Examiner

Date  
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**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449  
(Corrected Listing of Original List)**



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<b>Subtotal</b>	<b>259</b>						

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					YES	NO
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	2	BE565063	2/23/57	Belgium		
	3	CH391071	4/30/65	Switzerland		
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	39	DE387973	1/9/24	Germany		
	40	DE4022476	1/16/92	Germany		

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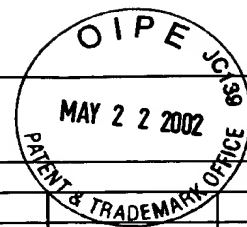
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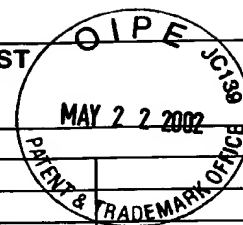
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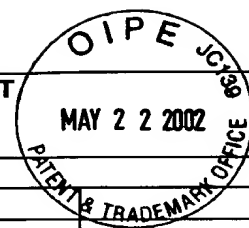
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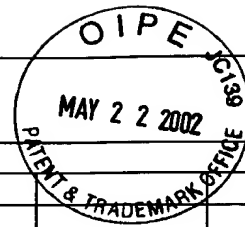
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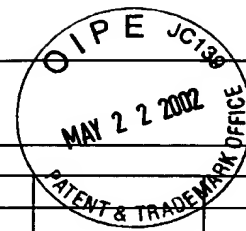


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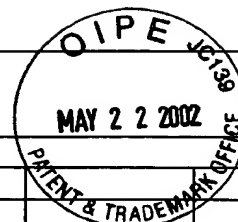


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	4	OD004	High Voltage Cables in a New Class of Generators Powerformer; M. Leijon et al; 6/14/99; pp1-8.
	5	OD005	Ohne Tranformator direkt ins Netz; Owman et al, ABB, AB; 2/8/99; pp48-51
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	8	OD008	Eine neue Type von Unterwassermotoren; Electrotechnik und Maschinenbau, 49; 8/1931; pp2-3
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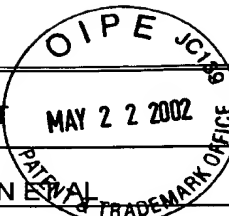


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	22	OD022	Low core loss rotating flux transformer; R. F. Krause, et al; American Institute Physics J.Appl.Phys Vol 64 #10 11/1988, pp5376-5378
	23	OD023	An EHV bulk Power transmission line Made with Low Loss XLPE Cable; Ichihara et al; 8/92; pp3-6
	24	OD024	Underground Transmission Systems Reference Book; 1992; pp16-19; pp36-45; pp67-81
	25	OD025	Power System Stability and Control; P. Kundur, 1994; pp23-25; page 767
	26	OD026	Six phase Synchronous Machine with AC and DC Stator Connections, Part II: Harmonic Studies and a proposed Uninterruptible Power Supply Scheme; R. Schiferl et al.; 8/1983 pp 2694-2701
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	37	OD038	POWERFORMER™: A giant step in power plant engineering; Owman et al; CIGRE 1998, Paper 11:1.1
	38	OD039	Thin Type DC/DC Converter using a coreless wire transformer; K. Onda et al; Proc. IEEE Power Electronics Spec. Conf.; 6/1994, pp330-334
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	40	OD041	Transformer core losses; B. Richardson; Proc. IEEE 5/1986, pp365-368
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	42	OD043	A study of equipment sizes and constraints for a unified power flow controller; J Bian et al; IEEE 1996
<b>Subtotal</b>	<b>43</b>		

<b>GRAND TOTAL</b>	<b>671</b>		
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Examiner	Date Considered
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION LIST</b> <b>ALTERNATE FORM PTO-1449</b>  Issue 2: dated 02/21/00	Docket Number: 216270US-6X PCT	Application Number 09/926,612
	Applicant(s): BENGT ROTHMAN ET AL	
	Filing Date: FEBRUARY 26, 2002	Group Art Unit: 2834



**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	1	US 4,292,558	9/29/1981	Carl Flick et al			
	2	US 4,656,316	4/7/1987	Hans-Juergen Meltsch			
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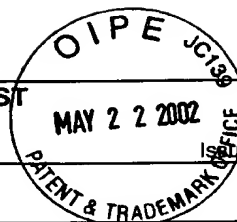
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**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449**



Issue 2: dated 02/21/00

**FOREIGN PATENT DOCUMENTS**

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					YES	NO
	1	GB 1,319,257	6/6/1973	Anders R. Andersson et al		
	2	GB 1,322,433	7/4/1973	Siemens Akstien-gesellschaft		
	3	GB 2,070,341	9/3/1981	Hans-Georg Raschbichler et al		
	4	WO 98/20598	5/14/1998	Jan-Anders Karl-feldtsgatan et al		
	5	WO 98/20602	5/14/1998	Soren Berggren		
	6	WO 98/34239	8/6/1998	Gunnar Steneorps-gatan et al		
	7	WO 99/28922	6/10/1999	Thorsten Schutte et al		
	8	WO 99/29005	6/10/1999	Mats Leijon et al		
	9	WO 99/29023	6/10/1999	Peter Carstensen et al		
	10	WO 99/29025	6/10/1999	Mats Leijon et al		
	11	EP 0056580 A1	7/28/1982	Jacobus F.H. Van der Vegt		
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**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449**

Issue2: dated 02/21/00

**OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)**

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INFORMATION DISCLOSURE CITATION LIST ALTERNATE FORM PTO-1449 (additional to original listing)	Docket Number: 216270US-6X PCT	Application Number 09/926,612
	Applicant(s): BENGT ROTHMAN ET AL	
	Filing Date: FEBRUARY 26, 2002	Group Art Unit: 2834

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	1	US 1,508,456	9/16/24	W.G.Lenz			
	2	US 1,904,885	4/18/33	G.A.Seeley			
	3	US 2,409,893	10/22/46	W.W. Pendleton et al			
	4	US 2,650,350	8/25/53	P.D. Heath			
	5	US 2,749,456	06/05/56	F.O. Luenberger			
	6	US 3, 014, 139	12/19/61	L.P. Shildneck			
	7	US 3,197,723	7/27/65	I.K.Dortort			
	8	US 3,392,779	7/16/68	K.B. Tilbrook			
	9	US 3,411,027	11/12/68	H. Rosenberg			
	10	US 3,541,221	11/17/70	M.Aupoix et al			
	11	US 3,571,690	3/23/71	V V A V Lataisa			
	12	US 3,651,244	3/21/72	D.A. Silver et al			
	13	US 3,660,721	5/2/72	L.L.Baird			
	14	US 3,666,876	5/30/72	E.O.Forster			
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	17	US 3,743,867	7/3/73	J.L. Smith, Jr.			
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	32	US 4,432,029	2/14/84	B. Lundqvist			
	33	US 4,437,464	3/20/84	J.J.Crow			
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	38	US 4,571,453	2/18/86	M.Takaoka et al			
	39	US 4,615,778	10/7/86	R.K.Elton			
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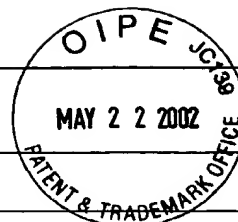
Examiner	Date Considered
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**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449**



FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	1	DE 209,313	4/25/84	Germany		
	2	DE 134,022	12/28/01	Germany		
	3	DE 1,465,719	5/22/69	Germany		
	4	DE 19,020,222	3/13/97	Germany		
	5	DE 19,620,906	1/8/96	Germany		
	6	DE 386,561	12/13/23	Germany		
	7	DE 3,925,337	2/7/91	Germany		
	8	DE 406,371	11/21/24	Germany		
	9	DE 4,402,184	8/3/95	Germany		
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	11	DE 975,999	1/10/63	Germany		
	12	EP 0,102,513	1/22/86	European		
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	19	EP 0,749,193 A3	3/26/97	European		
	20	EP 0,749,190 A2	12/18/96	European		
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	28	GB 2,332,557	6/23/99	United Kingdom		
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	32	HU 175,494	11/28/81	Hungary		
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Examiner

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<b>Subtotal</b>	<b>51</b>					
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**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449  
( Corrected Listing of Original List )**



**OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)**

1	OD 044	A test installation of a self-tuned ac filter in the Konti-Skan 2 HVDC link; T. Holmgren, G. Asplund, S. Valdemarsson, P. Hidman of ABB; U. Jonsson of Svenska Kraftnat; O. loof of Vattenfall Vastsverige AB; IEEE Stockholm Power Tech Conference 6/1995, pp 64-70
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5	OD 048	J&P Transformer Book 11 <sup>th</sup> Edition; A. C. Franklin et al; owned by Butterworth - Heinemann Ltd, Oxford Printed by Hartnolls Ltd in Great Britain 1983, pp29-67
6	OD 049	Transformerboard; H.P. Moser et al; 1979, pp 1-19
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8	OD 051	Direct Connection of Generators to HVDC Converters: Main Characteristics and Comparative Advantages; J. Arrillaga et al; <i>Electra</i> No. 149, 08/ 1993, pp 19-37
9	OD 052	Our flexible friend article; M. Judge; <i>New Scientist</i> , 05/10/1997, pp 44-48
10	OD 053	In-Service Performance of HVDC Converter transformers and oil-cooled smoothing reactors; G.L. Desilets et al; <i>Electra</i> No. 155, 08/1994, pp 7-29
11	OD 054	Transformateurs a courant continu haute tension-examen des specifications; A. Lindroth et al; <i>Electra</i> No 141, 04/1992, pp 34-39
12	OD 055	Development of a Termination for the 77 kV-Class High Tc Superconducting Power Cable; T. Shimonosono et al; IEEE Power Delivery, Vol 12, No 1, 01/1997, pp 33-38
13	OD 056	Verification of Limiter Performance in Modern Excitation Control Systems; G. K. Girgis et al; IEEE Energy Conservation, Vol. 10, No. 3, 09/1995, pp 538-542
14	OD 057	A High Initial response Brushless Excitation System; T. L. Dillman et al; IEEE Power Generation Winter Meeting Proceedings, 01/31/1971, pp 2089-2094
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	27	OD 071	Das Einphasenwechselstromsystem hoherer Frequenz; J.G. Heft; Elektrische Bahnen eb; 12/1987, pp 388-389
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	32	OD 076	MPTC: An economical alternative to universal power flow controllers; N. Mohan; EPE 1997, Trondheim, pp 3.1027-3.1030
	33	OD 078	Lexikon der Technik; Luger; Band 2, Grundlagen der Elektrotechnik und Kerntechnik, 1960, pp 395
	34	OD 079	Das Handbuch der Lokomotiven ( hungarian locomotive V40 1'D' ); B. Hollingsworth et al; Pawlak Verlagsgesellschaft; 1933, pp. 254-255
	35	OD 080	Synchronous machines with single or double 3-phase star-connected winding fed by 12-pulse load commutated inverter. Simulation of operational behaviour; C. Ivarson et al; ICEM 1994, International Conference on electrical machines, Vol. 1, pp 267-272
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	37	OD 082	Power Electronics - in Theory and Practice; K. Thorborg; ISBN 0-86238-341-2, 1993, pp 1-13
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	39	OD 084	Tranforming transformers; S. Mehta et al; IEEE Spectrum, July 1997, pp. 43-49
	40	OD 085	A study of equipment sizes and constraints for a unified power flow controller; J. Bian et al; IEEE Transactions on Power Delivery, Vol.12, No.3, July 1997, pp.1385-1391
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	51	OD 096	SMC Powders Open New Magnetic Applications; M. Persson (Editor); SMC Update ,Vol. 1, No. 1, April 1997
	52	OD 097	Characteristics of a laser triggered spark gap using air, Ar, CH4, H2, He, N2, SF6 and Xe; W.D. Kimura et al; Journal of Applied Physics, Vol. 63, No 6, 15 March 1988, p. 1882-1888
	53	OD 098	Low-intensy laser-triggering of rail-gaps with magnesium-aerosol switching-gases; W. FREY; 11th International Pulse Power Conference, 1997, Baltimore, USA Digest of Technical Papers, p. 322-327

Examine r	Date Considered
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



## A circular stamp from the Intellectual Property Office (IPO). The text "IPO" is at the top, "JC139" is at the top right, "MAY 22 2002" is in the center, and "PATENT &amp; TRADEMARK OFFICE" is at the bottom.

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<b>Subtotal</b>	<b>53</b>		
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<p>*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP0 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449  
(additional to original listing)

Docket Number:  
216270US-6X PCT

Application Number  
09/926,612

Applicant(s):  
BENGT ROTHMAN ET AL

Filing Date:  
FEBRUARY 26, 2002

Group Art Unit:  
2834

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
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Examiner	Date Considered
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\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP0 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449**



**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	1	WO 9745908	12/4/97	PCT		
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Examiner	Date Considered
<p>*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP0 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

**INFORMATION DISCLOSURE CITATION LIST  
ALTERNATE FORM PTO-1449**



**OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)**

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Examiner	Date Considered
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\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP0 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.